



FEDERAL ENERGY ADMINISTRATION  
WASHINGTON, D.C. 20461

rec'd ~~24~~ Feb  
24

OFFICE OF THE ASSISTANT ADMINISTRATOR

FEB 8 1977

Mr. Enno Knoche,  
Acting Director  
CIA  
Washington, D.C. 20505

Dear Mr. Knoche:

There has been some concern expressed informally by people from several agencies that their official contact(s) for the Congressionally mandated inventory of Federal energy data gathering activities has not been officially sanctioned. Therefore, I wish to provide you with the name(s) of the person provided telephonically to the Office of Energy Information and Analysis as the official contact for the various agencies. Enclosure 1 provides a listing by agency of the official contact(s) and their telephone numbers.

The background for this requirement is that the Energy Conservation and Production Act (ECPA) requires agencies to transmit a report to the FEA on their energy information gathering activities. A letter concerning this requirement was sent to members of the Energy Resources Council, representatives of the member agencies of the Federal Interagency Council on Energy Information, and agency contacts for the FEA maintained Federal Energy Information Locator System on October 12, 1976, (see Enclosure 2). The letter also invited attendance by the agencies to the October 27, 1976, meeting at the Departmental Auditorium to discuss the ECPA requirement. At the meeting, FEA asked that each agency designate an

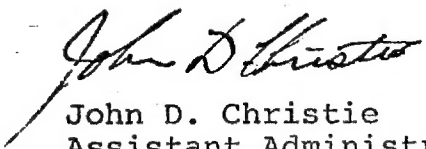
FEA

-2-

official contact for the effort. These contacts were subsequently provided to FEA through a telephone survey. On December 16, 1976, a letter with enclosures detailing the content and format of the required reports on energy information gathering activities was sent to the official contacts (see Enclosure 3). Basically there are three parts to the information requirement. Part 1 is due February 28, 1977, while the due date for Part 2 and 3 is May 30, 1977.

I hope this background information and the enclosed list clear up any questions which may have risen over this requirement. If there are any further questions please contact Mr. W. Richard Johnsen of my staff at 566-9811.

Sincerely,

  
John D. Christie  
Assistant Administrator  
Energy Information and Analysis

Enclosures

ENCLOSURE 1

STAT

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Next 1 Page(s) In Document Exempt

Approved For Release 2004/02/23 : CIA-RDP80M00165A001900050002-8



Public Law 94-385  
94th Congress, H. R. 12169  
August 14, 1976

## An Act

To amend the Federal Energy Administration Act of 1974 to extend the duration of authorities under such Act; to provide an incentive for domestic production; to provide for electric utility rate design initiatives; to provide for energy conservation standards for new buildings; to provide for energy conservation assistance for existing buildings and industrial plants; and for other purposes.

*Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Energy Conservation and Production Act".*

Energy  
Conservation  
and Production  
Act.  
42 USC 6801  
note.

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- "Sec. 59. Congressional access to information in possession of the Office.
- Sec. 143. Effective date.

Pub. Law 94-385

- 14 -

August 14, 1976

- Cooperation. Review Team, shall be designated by the Comptroller General.
- "(c) The Director and the Administrator shall cooperate fully with the Professional Audit Review Team and notwithstanding any other provisions of law shall make available to the Team such data, information, documents, and services as the Team determines are necessary for successful completion of its performance audit review.
- Penalty. "(d) Except as authorized by law, any person who—
- "(1) obtains, in the course of exercising the functions of the Professional Audit Review Team, information which constitutes a trade secret or confidential commercial information, the disclosure of which could result in significant competitive injury to the person to which such information relates; and
- "(2) willfully discloses such information;
- shall be fined not more than \$40,000, or imprisoned not more than one year, or both.

"COORDINATION OF ENERGY INFORMATION ACTIVITIES

15 USC 790e.

"Sec. 56. (a) In carrying out the purposes of this Act the Director shall, as he deems appropriate, review the energy information gathering activities of Federal agencies with a view toward avoiding duplication of effort and minimizing the compliance burden on business enterprises and other persons.

"(b) In exercising his responsibilities under subsection (a) of this section, the Director shall recommend policies which, to the greatest extent practicable—

"(1) provide adequately for the energy information needs of the various departments and agencies of the Federal Government, the Congress, and the public;

"(2) minimize the burden of reporting energy information on businesses, other persons, and especially small businesses;

"(3) reduce the cost to Government of obtaining information; and

"(4) utilize files of information and existing facilities of established Federal agencies.

"(c) (1) At the earliest practicable date after the date of enactment of this section, each Federal agency which is engaged in the gathering of energy information as a part of an established program, function, or other activity shall promptly provide the Administrator with a report on energy information which—

"(A) identifies the statutory authority upon which the energy information collection activities of such agency is based;

"(B) lists and describes the energy information needs and requirements of such agency; and

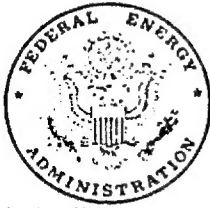
"(C) lists and describes the categories, definitions, levels of detail, and frequency of collection of the energy information collected by such agency.

Such agencies shall cooperate with the Administrator and provide such other descriptive information with respect to energy information activities as the Administrator may request. The Administrator shall prepare a report on his activities under this subsection, which report shall include recommendations with respect to the coordination of energy information activities of the Federal Government. Such report shall be available to the Congress and shall be transmitted to the President and to the Energy Resources Council for use in preparation of the plan required under subsection (c) of section 108 of the Energy Reorganization Act of 1974.

Report to  
Congress, trans-  
mittal to  
President.

42 USC 5818.

ENCLOSURE 2



FEDERAL ENERGY ADMINISTRATION

WASHINGTON, D.C. 20461

OCT 1 2 1976

OFFICE OF THE ASSISTANT ADMINISTRATOR

The Energy Conservation and Production Act of August 1976, requires (see Enclosure 1) that a thorough evaluation of all Federal energy information activities be conducted by the FEA, and that a report on this issue is to be provided to the President, Congress, and the Energy Resources Council. Additionally, the Act requires that each agency which is engaged in the collection of energy information provide promptly to the FEA such information as is needed to conduct the required evaluation.

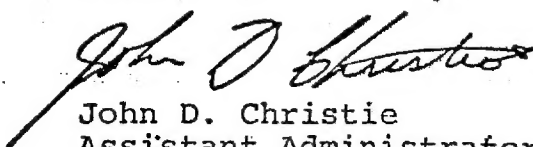
In order to assist each agency in providing this legislatively required information in a consistent manner and on a timely basis, FEA is hosting a meeting at 10:00 a.m., October 27, 1976, in Conference Room "B" of the Departmental Auditorium (Constitution Avenue between 12th and 14th Streets, N.W.). During this meeting the information requirements as summarized in Enclosure 2 will be presented and discussed. Please advise Mr. W. R. Johnsen of my staff (Room 7405, Federal Building, Telephone Number: 566-9811) of the name, title, and telephone number of the individual who will represent your agency at this meeting.

The successful accomplishment of the objectives of this project will require the close cooperation of each agency. While I believe that FEA must accept the lead in completing the overall project, I do not think that FEA can or should dominate the overall effort. I, therefore, encourage you to carefully review the information requirements in the enclosure in light of project objectives and provide such constructive comments and ideas as you consider appropriate. Additionally, I would like you to consider the possibility of designating qualified staff members within your agency to work with the FEA staff on this project. I make this request in view of the magnitude and importance of this legislated task.



Should you have any questions regarding these issues, please contact Mr. W. R. Johnsen at your earliest convenience.

Sincerely,

A handwritten signature in dark ink, appearing to read "John D. Christie". The signature is written in a cursive style with a long, sweeping underline that extends to the left.

John D. Christie  
Assistant Administrator  
Energy Information and Analysis

Enclosures

## INFORMATION REQUIREMENTS

### 1. Introduction:

As required by the ECPA, the Office of Energy Information and Analysis of the FEA is undertaking a thorough review of all Federal energy information activities. In this note, the information from government agencies needed to conduct this review is set forth.

### 2. Information Requirements

It is requested that each agency provide a file for each energy data or information system for which it is responsible. The file for each system should contain the information in the following list:

#### 2.1 System Description

A brief statement describing the nature and purpose of the information system.

#### 2.2 Accounting Data

- a) System names and codes.
- b) Copies of all forms and instructions.
- c) Copies of regular system outputs.
- d) List of regular users.
- e) Name and telephone number of agency contact.
- f) Complete system documentation.
- g) Authority for system.
- h) Life cycle and periodicity.

#### 2.3 Statistical and Cost Data

- a) Respondent population.
- b) Number of respondents.
- c) Possible number of respondents.
- d) Sampling frame.
- e) Respondent burden.
- f) Operating cost.

### 2.3 Information Confidentiality

Describe the nature of such agreements as may exist on the confidentiality of the data, citing the law as appropriate.

### 2.4 Technical Questions: Answer for each data element.

- a) Is input data respondent certified?
- b) Is input data:
  - measured, and if so, how?
  - estimated, and if so, describe process.
  - calculated from measured data, and if so, describe process.
- c) Are data elements:
  - defined in enacted legislation, cite.
  - defined in regulations but not in legislation, cite.
  - defined in Federal or industrial standards, cite.
  - otherwise defined, describe as appropriate.

### 2.5 General Information

- a) Provide reports on or descriptions of system validation, audit, and verification procedures.
- b) Provide name of systems which contain similar or duplicate data and describe differences.
- c) Describe availability of system components, such as tapes and files, and of actual outputs.

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ENCLOSURE 3

Approved For Release 2004/02/23 : CIA-RDP80M00165A001900050002-8



FEDERAL ENERGY ADMINISTRATION

WASHINGTON, D.C. 20161

December 16, 1976

OFFICE OF THE ASSISTANT ADMINISTRATOR

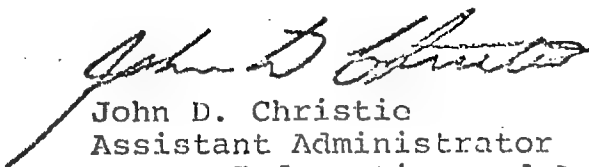
I want to take this opportunity to thank you for meeting with us on October 27, 1976, to discuss the problem of coordinating and reviewing Federal energy information activities. The comments and suggestions we have received from various agencies and individuals since that time have proven most helpful.

As stated during the October meeting, we promised to provide a description of the information needs for the conduct of the review. This is enclosed. It is requested that responses to Part 1 be provided no later than February 28, 1977.

In order to facilitate progress, I have instructed Dick Johnsen of my staff to make himself or appropriate staff members available to discuss with each of you individually (or your representative) these information requirements. Please contact him if you are interested in such further discussion. His telephone number is: (202) 566-9811.

I recognize that these information requirements will take both time and effort to meet. Nevertheless, I consider this to be a project which will result in major improvements in the overall quality of energy information as well as significant reductions in the associated costs. I therefore, urge that you give special emphasis to meeting this need for information about Federal energy information activities.

Sincerely,



John D. Christie  
Assistant Administrator  
Energy Information and Analysis

Enclosure

1. INTRODUCTION

The Energy Conservation and Production Act of 1976 requires that all Federal energy information activities be reviewed and, based on the results obtained, recommendations be made with a view towards:

- improving the quality and reducing the cost of energy information,

while insuring that the:

- energy information needs of both the Government and the public are met.

As a first step in undertaking this review it will be necessary to collect a variety of information about Federal energy information activities from each agency. This information requirement is presented in this paper.

In Section 2, the type of energy information activities to be considered are defined. Section 3 describes the required information and the format for its provision.

## 2. SCOPE OF INFORMATION REQUIREMENT

This information requirement covers the following energy information activities:

- ° any periodic collection of information on the reserves, stocks, production, distribution, marketing, and consumption of fuels or energy and associated cost data,
- ° any one-time collection of information about oil and gas reserves,
- ° any other energy information collection activity which is considered particularly significant by the responding agency,
- ° any requirement for the above types information, including those not being met at this time.

The following examples will serve to illustrate what is and is not considered within the scope of this information requirement.

### Activities to be Considered

Any requirement for or collection of information about the following falls within the scope of this request:

- ° oil and gas
- ° nuclear power
- ° coal
- ° electric power
- ° geothermal power
- ° oil shale
- ° solar power
- ° other energy sources

In the context of the above, the term information is inclusive and covers, for example, the following:

- |                  |                             |
|------------------|-----------------------------|
| ° exploration    | ° consumption               |
| ° reserves       | ° supply                    |
| ° extraction     | ° distribution              |
| ° production     | ° storage                   |
| ° stocks         | ° associated financial data |
| ° imports        | ° other similar information |
| ° transportation |                             |

Activities not to be Considered

The following are examples of information activity types which fall outside of the scope of this information requirement:

- forecast and other modeling activities
- efficiency of ground and air transportation
- unemployment
- data collected solely as a result of litigation
- economic indicators
- data on natural resources which relate to the energy issue indirectly, such as steel production.



3. REPORTING FORMAT

The reporting format is comprised of three parts:

- Part 1 - Administrative Data on Information Activities
- Part 2 - Technical Data on Information Activities
- Part 3 - Information on User Requirements

It is requested that each agency provide reports covering the information for each part which is described in this section. There will be one Part 1 and Part 2 report for each separate information gathering activity and one Part 3 report for each separate agency user requirement. The Part 3 report format should also be used to describe unsatisfied user requirements.

All reports should be sent to:

W. Richard Johnsen  
Office of Energy Systems Data  
Federal Energy Administration  
Room 7411  
12th & Pennsylvania Avenue, N.W.  
Washington, D.C. 20461

Part 1: Administrative Data on Information Activities

The following should be provided by February 28, 1977. One report should be prepared for each information activity:

- A. A copy of the GAO Form 495 which has been prepared for the activity. If this form has not been prepared for GAO, this should be noted and one should be prepared and included. A blank copy of this form is enclosed for your use.
- B. Any changes which should be made to the previously submitted GAO Form 495 should be described, or an amended report included.
- C. A copy of the OMB Standard Form 83 which has been prepared for the activity. If this form has not been prepared for OMB, this should be noted and one should be prepared and included. A blank copy of this form is enclosed for your use.
- D. Any changes which should be made to the previously submitted OMB SF-83 should be described, or an amended report included.
- E. Copies of all reporting forms and instructions.
- F. The name, official position, other designation, and telephone number of an official agency contact for the activity.
- G. A list of the name and organization of the regular users of the information available from the activity.
- H. Citation of the authority for activity creation and operation. This should include, as appropriate, Congressional acts, Federal regulations, and/or requests from outside users.

## Part 2: Technical Data on Information Activities

The following detailed information about each information activity should be provided by May 30, 1977. One report should be prepared for each information activity. If this information, or a portion of it is now available, please include it with the material for Part 1.

### A. Information Accuracy

In this part of the report on a system, all information which is available on the accuracy of both the input and output data should be provided. This should include descriptions of those system characteristics which lead to errors; estimates of the magnitude of such errors; copies of reports on the accuracy of the information; and the name and telephone number of a staff member who is familiar with any accuracy problems for the system. Examples of factors to be considered in writing this section are:

- equivocal data definitions
- inadequate reporting instructions
- late reporting of the input data
- entry of the input data in the wrong time period
- key punch errors
- lost input data
- manual transcription errors
- incorrect mathematical procedures
- bias in sample selection

### B. Information Authenticity

All procedures designed to verify that the collected data is provided in accord with reporting specifications should be described and discussed. Examples of such procedures are the conducting of audits, or comparison with benchmark data from other sources. In those cases where data from other sources are used for verification, such sources should be identified and briefly described. For example, data supplied to another agency by a respondent can be used for this purpose in

some cases. In addition, the extent to which the origination of the data is witnessed or audited, should be described. For example, the U.S. Customs Service witnesses the origination of oil import data by observing the measurement of petroleum storage tanks. Any information available concerning the effectiveness of such procedure should be included.

C. Information Comparability

Those other information activities which are known to contain similar information elements should be identified and described and any information pertaining to the accuracy with which the data can be compared should be included. This section should contain a discussion of similarities (dissimilarities in data definitions, respondent populations, geographic coverage, periodicity, and such other information as is thought necessary to establish comparability).

The following detailed data on user requirements should be submitted by May 30, 1977. One report covering each such user requirement should be submitted.

In preparing this report on user requirements, it is requested that it be noted whenever there is no information available for a specific item.

A. Information Type

The type or categories of energy information required should be described and should include a list of specific information elements.

B. Source of Existing Information

If the information requirement is presently being satisfied by existing collection activities, these should be fully identified. Where possible, use the same name or title of the system or collection activity that was used in Item 3 of GAO Form 495. If the requirement is being fulfilled by another agency's activity, identify the agency and activity. If the requirement is not presently being met, enter the statement "This information requirement is not presently being met."

C. Input Information Sources

The required respondent populations for the input information should be fully identified including any specifications dealing with sample selection.

D. Information Accuracy

If the specifications for the user requirements include accuracy criteria for either the respondent information or the output information, these should be stated.

E. Verification

Any special specifications regarding the verification of source information should be described.

F. Authority

The authority from which the user requirements stem should be cited. For example, legislation, Federal regulations, and others such as data bases for energy issues analyses and energy policy.

G. Purpose

The various uses of the required energy information should be identified and discussed.

H. Problems with Existing Sources

Any problems with the information being used to satisfy the requirement should be discussed. In those cases where the problem is considered highly significant, the discussion should include recommended changes.

I. Rigidity of Specifications

In many cases the specifications for a particular user requirement cannot be relaxed. This occurs in some regulatory systems where the required data is exactly defined in Congressional acts. The extent to which specifications can be modified should be described here.

J. Authoritative Agency Staff

The official agency contact for each user requirement should be identified by name, organization, and telephone number.

## CLEARANCE REQUEST AND NOTICE OF ACTION

(Under Federal Records Act and Bureau of the Budget Circular No. 100, as amended)  
Approved For Release 2004/02/23 : CIA-RDP80M00165A001900050002-8IMPORTANT - Submit the required number of copies of SF-83, together  
with the material for which approval is requested to:CLEARANCE OFFICER  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

READ INSTRUCTIONS BEFORE COMPLETING FORM

## PART A - REQUEST BY FEDERAL AGENCY FOR CLEARANCE

\* Items marked with asterisk may be omitted for preliminary plans or recordkeeping requirements

1. SEND "NOTICE OF ACTION" TO: Name and mailing address		2. Bureau and division or office originating request	
		3. Name(s), title(s), and telephone numbers of person(s) who can best answer questions regarding request.	
FORM OR DOCUMENT IDENTIFICATION	4. Title of form or document submitted		*5. Agency Form Number(s)
	6. Type of form or document 1 <input type="checkbox"/> Application 2 <input type="checkbox"/> Program evaluation 3 <input type="checkbox"/> Other management report 4 <input type="checkbox"/> Statistical survey or report 5 <input type="checkbox"/> Preliminary plan or contract 6 <input type="checkbox"/> Recordkeeping requirement 7 <input type="checkbox"/> Other - Specify <input checked="" type="checkbox"/>		7. Current (or former) O.M.B. clearance - Number Expiration date 8. Requested expiration date
	9. Type of request 1 <input type="checkbox"/> New 2 <input type="checkbox"/> Revision 3 <input type="checkbox"/> Extension (No change) 4 <input type="checkbox"/> Reinstatement		
	*10. Frequency of use 1 <input type="checkbox"/> Single time 2 <input type="checkbox"/> On occasion 3 <input type="checkbox"/> Weekly 4 <input type="checkbox"/> Monthly 5 <input type="checkbox"/> Quarterly 6 <input type="checkbox"/> Semi-annually 7 <input type="checkbox"/> Annually 8 <input type="checkbox"/> Other (See instructions)		11. Related forms or documents (Give O.M.B. number. Enclose in parentheses any to be replaced.) 12. Catalog of Federal Domestic Assistance program number (if applicable)
COLLECTION AND RESPONDENTS	*13a. Collection method (Check as many as apply) 1 <input type="checkbox"/> Mail 2 <input type="checkbox"/> Personal interview 3 <input type="checkbox"/> Other - Describe <input checked="" type="checkbox"/>	14a. Type of respondents involved (Check predominant one) 1 <input type="checkbox"/> Individuals or households 2 <input type="checkbox"/> Business firms (non-farm) 3 <input type="checkbox"/> Farms 4 <input type="checkbox"/> Government agencies 5 <input type="checkbox"/> Other - Describe <input checked="" type="checkbox"/>	*15. Summary of estimated respondent burden a. Estimated number of respondents b. If sample, approximate number in universe c. Reports filed annually by each respondent (item 10) d. Total annual responses (a X c) e. Estimated average number of man-hours required per response f. Estimated TOTAL MAN-HOURS of respondent burden (d X e)
	*13b. Collected by - 4 <input type="checkbox"/> Agency 5 <input type="checkbox"/> Contractor 6 <input type="checkbox"/> Other - Describe <input checked="" type="checkbox"/>	14b. Brief description of respondents (i.e., "households in 50 largest SMSA's; "retail grocery stores")	
AUTHORITY AND CONFIDENTIALITY	*16a. Is report form - 1 <input type="checkbox"/> Voluntary? 2 <input type="checkbox"/> Required to obtain benefit? 3 <input type="checkbox"/> Mandatory? Cite statute <input checked="" type="checkbox"/>		*16b. Does your agency pledge confidentiality? 1 <input type="checkbox"/> Yes 2 <input type="checkbox"/> No
	17. In developing the report form or other documents, were consultations held with individuals or organizations outside your agency? 1 <input type="checkbox"/> Yes - If "yes," identify persons and describe outcome in SUPPORTING STATEMENT. (See instructions) 2 <input type="checkbox"/> No		
CERTIFICATION BY AUTHORIZED OFFICIALS SUBMITTING REQUEST - We certify that the form or other document submitted for approval is necessary for the proper performance of this agency's functions, that the information requested is not available from any other source, to the best of our knowledge, and that the request is consistent with applicable O.M.B. and agency policy directives. Signature and title of:			
Approving official for agency		Date	Agency clearance officer or other agency official
			Date
Approved For Release 2004/02/23 : CIA-RDP80M00165A001900050002-8			

PART B - OFFICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Approved For Release 2004/02/23 : CIA-RDP80M00165A001900050002-8  
In accordance with provisions of the Federal Reports Act and Bureau of the Budget Circular A-40, as amended, the action indicated below has been taken with respect to your request for clearance of the report form or other document indicated in Part A on the reverse side.

1. ☐ APPROVED. The information appearing in the box below must appear in the upper right-hand corner of the report form:

O.M.B. No. \_\_\_\_\_  
Approval Expires \_\_\_\_\_

2. ☐ APPROVED, through \_\_\_\_\_  
The information appearing in the box below must appear in the upper right-hand corner of the report form:

Form Approved  
O.M.B. No. \_\_\_\_\_

3. ☐ APPROVED, under O.M.B. No. \_\_\_\_\_  
The statement in the box below must appear prominently somewhere in the regulation, manual or other document:

The reporting and/or recordkeeping requirements contained herein have been approved by the Office of Management Budget in accordance with the Federal Reports Act of 1942.

4. ☐ O.M.B. No. \_\_\_\_\_  
Approval expires \_\_\_\_\_  
This number is evidence of preliminary approval only. Specific data collection plans and report forms are subject to further review under Budget Circular A-40 before final approval action can be considered.

NOTE: Please refer to Office of Management and Budget Approval Number in all future correspondence regarding this clearance.

5. ☐ REVIEW SUSPENDED \_\_\_\_\_

6. ☐ DISAPPROVED, or other FINAL  
action, for the following reason(s): \_\_\_\_\_

7. Remarks:

8. ACTION  
APPROVED  
BY

Name (Signature)

Title

Date

IMPORTANT - If your request for clearance has been APPROVED (i.e. boxes 1, 2, or 3 are checked), the following should be sent to O.M.B. on a post-clearance basis, as soon as available:

Two copies of the final PRINTED (or otherwise reproduced) report form, or reporting or recordkeeping requirement, transmittal letter, instructions, and any other document being sent to each respondent.

FOR  
O.M.B.  
USE

1.	2.	3.	4.	5.	6.	7.	8.	9.	10.
11.	12.	13.	14.	15.	16.	17.	18.	19.	20.



PROCEDURES FOR THE PREPARATION AND SUBMISSION TO THE  
GENERAL ACCOUNTING OFFICE OF REPORTS ON  
MAJOR INFORMATION SOURCES AND SYSTEMS

The following instructions are a supplement to the GAO memorandum on information to be provided to GAO for Inventories of Program Evaluations, Recurring Reports to the Congress, and Information Sources and Systems under provisions of the "Congressional Budget Act of 1974."

Agencies will submit a report on each major information source/system, as defined below. The reports will be typed on GAO Form 495, Source/System Standard Inventory Data Form. To the extent practicable, all the forms for each agency or agency component should be submitted together and numbered consecutively.

Major systems are those that (1) are directed at and critical to fulfilling an agency mission, (2) entail the allocation of large dollar resources, and (3) warrant special management attention. Further, in classifying a system as major, consideration should be given to the relative importance of its output to (1) supporting agency heads in their policy decision making process, and (2) assisting agency or agency component heads in responding to external requirements for information, such as the President, Congress, GAO, CBO, OMB, and Treasury. In result, such criteria as dollar resources, size, information content, purpose (budget and programmatic), and scope shall be used to determine whether an agency's information sources and systems should be considered "major" under the purview of this request. These criteria shall be determined by the agency in cooperation with the GAO inventory project staff. Agencies are requested to review annually their total information capabilities and submit their inventories of major sources and systems to GAO, via GAO Form 495.

Please submit only unclassified descriptions in completing the sources and systems inventory. For classified sources and systems, please note level of classification and provide unclassified short titles and an unclassified summary description on a GAO Form 495.

All agencies regardless of size must submit at least one entry for their budget/fiscal system(s). The purpose of this requirement is to identify the source of financial information within every Federal Government agency.

Consolidated agency reports are required to be submitted in time to arrive at GAO not later than December 31 of each calendar year. GAO views the agency data collection, preparation and submission period as being from August 1 to December 31 of each calendar year. Completed inventory submissions may be forwarded to GAO at any time

during this period. Accordingly, GAO will maintain a staff of information and systems specialists during this period to assist agencies in their data collection and submission efforts.

Agencies submissions and information about this request should be directed to:

Information Sources and Systems Group  
Program Analysis Division  
U.S. General Accounting Division  
425 I Street, NW.  
Washington, DC 20548 Telephone (202) 376-5378

INSTRUCTIONS FOR COMPLETING GAO FORM 495

Purpose: Information provided will be used by the GAO to develop and maintain the data base inventory of Federal Information Sources and Systems that are budgetary, fiscal, and program-related.

Instructions: The instructions for the completion of the inventory are delineated below. Each numbered item below is keyed to the numbered items on GAO Form 495, which is attached. Additional instructions and GAO Forms 495's may be obtained from the above source.

1. Agency - Enter the name of the department, agency, agency component, board, commission, or other governmental unit which is responsible for this submission.
2. ACCESSION NO. - For GAO use only.
3. TITLE OF SOURCE/SYSTEM - Enter the commonly used name and acronym (if applicable) of the information source, system or activity operated by the agency component in meeting those continuing data requirements needed to carry out its program responsibilities.
4. AGENCY IDENTIFICATION NO. - Enter the data inventory number assigned to the source or system by the agency for internal reference, control or cataloging purposes, if applicable.
5. TYPE OF SUBMISSION - Indicate the appropriate submission type as defined below.

Initial Submission - An initial submission is one in which the agency is reporting a specific source/system for the first time for inclusion in the GAO Inventory, using GAO Form 495. It should contain

all the essential information requested per entry in accordance with procedures and requirements specified in these instructions. For purposes of the 1976/77 inventory, all entries will be initial submissions.

Delete Submission - A delete submission is one in which the entire record of a previous submission is to be removed from an agency inventory of information sources and systems for one reason or another, i.e., the source/system no longer exists, it has become inoperative, or the program which the system supports has been discontinued. Complete items 1 through 5 and use abstract section to briefly describe reason(s) for deletion.

Modification Submission - A modification is one that changes, updates, adds, and/or deletes specific information previously submitted for a specific source/system by an agency. Complete items 1 through 5 and the appropriate fields to be modified. Give reason for action in abstract section.

6. CATEGORY OF SUBMISSION - Indicate whether the specific entry is an information source or system as defined below.
- Information Source - For the purposes of this inventory, an information source is defined to be a major information collection and/or information dissemination facility, such as documentation centers, information analysis centers, research centers, data use and access centers, clearing houses, regional information activities, field installations and centers, libraries, special reference collections and information networks, operated by or for the agency in support of its program(s) and mission.
  - Information System - For the purpose of this inventory, an information system is defined as the organized collection and processing of data in accordance with defined procedures (automated and/or manual) that generate recurring outputs containing budgetary, fiscal, social, economic, scientific-technical, and/or program-related data and information operated in support of agency program and management responsibilities identified in the Budget of United States Government. Examples of systems to be included are as follows:

- Program and/or project management systems concerned with the management of agency resources and functions.
  - Administrative management systems used for budgeting, accounting, procurement, contracts and grants management, and agency or bureau-wide administration.
  - Agency and/or bureau-wide analytical, planning and forecasting systems.
  - Bibliographic data systems.
  - Data bases, models (forecasting, simulation, and decision making), and data files generated through agency programs.
7. SCOPE OF APPLICATION - Indicate the organizational level supported by the particular source or system, i.e, department-wide, component level, or multi-component.
  8. PROCESSING MODE - Indicate whether the mode of processing is automated, manual, or a combination of both.
  9. SOURCES/SYSTEMS STATUS - Indicate whether now in use or under development. Information sources/systems which will be operational within the current fiscal year should be included as under development.
  10. PROGRAM(s) SUPPORTED BY SOURCE/SYSTEM - The primary source of information for this field is the Appendix to the Budget of the United States Government.

Enter the commonly used names of the programs, programmatic activities or administrative activities principally supported by the applicable source or system.

Program means an organized set of activities directed toward a common purpose, objective, or goal undertaken or proposed by an agency in order to carry out responsibilities assigned to it.

Identify administrative activities with specific program(s) where the identification can be readily made. OMB Program Activity title as used in the Appendix to the Budget to the United States Government should be used when possible to facilitate the use of OMB identification code(s). Multiple entries may be required.

For each program or programmatic/administrative activity identified, indicate the appropriate OMB account title and the associated 11-digit identification code. This is a means of relating and crosswalking the agency program(s) principally supported by the applicable

source or system to the Appendix to the Budget of the United States Government which provides "Program and Financing" schedules. Multiple entries may be required for a given program and/or program administrative activity.

11. AGENCY CONTACT - Enter the name, title, and agency organizational affiliation of the individual who can provide additional information on this submission.
12. ABSTRACT OR DESCRIPTION - Source/System descriptions should consist of three sections of approximately, but are not precisely limited to, 250 words in the aggregate. The three sections will be prepared as follows:
  - Section A: Purpose/Function - Briefly describe the purpose of the source or system, outlining what it is supposed to accomplish or provide (the requirement for the source/system). Also include the scope of coverage of the system, and its intended audience and user.
  - Section B: Source/System Input - Identify the primary source(s) or provider(s) of data/information, i.e., internal/external, public/private by category of information. In identifying the primary source(s) of data, be as specific as possible by providing the name(s) of the organizational entity from which the input data is derived. In addition, indicate the major categories of input data.
  - Section C: Source/System Data Information Content - Delineate in detail the specific information content of the information source or system. The description should include, but is not limited to the following: principal subject matter; data/information coverage; time reference; update cycle(s); geographic reference including the level of geocoding utilized (i.e., state, county, SMSA, congressional district) and major characteristics of the source/system. The foregoing are minimum essential elements of descriptive information requested. Agencies are invited to be as comprehensive as practical in identifying significant or distinctive attributes of each source/system reported to GAO.
13. KEY WORDS AND DESCRIPTORS - List significant words and/or phrases that describe the major subject areas and functions of the information entry; separate listings with a comma.
14. PRINCIPAL REPORTS OR OUTPUTS - Delineate the principal outputs of the source/system. Output is defined as the product(s) of the information source or system. They may be in the form of reports, tables, charts, graphic displays, catalogs, directories, and handbooks. The frequency of significant recurring reports should also

be indicated. In addition, indicate the medium for output; that is machine readable form, i.e., punched cards, tapes, or in hardcopy, microfiche, CRT display, etc. Indicate the subject system's query capability.

15. OUTPUT(s) AVAILABILITY - Indicate whether the output(s) is publicly available, restricted to internal use only, or classified. Indicate source for output - i.e., GPO, NTIS, or agency distribution.
16. THIS FIELD IS FOR GAO USE ONLY - Will be used to relate program information to legislation and committee jurisdiction.

# EXECUTIVE SECRETARIAT

## Routing Slip

TO:

		ACTION	INFO	DATE	INITIAL
1	DCI				
2	DDCI				
3	D/DCI/IC				
4	DDS&T				
5	DDI				
6	DDA				
7	DDO				
8	D/DCI/NI				
9	GC				
10	LC				
11	IG				
12	Compt				
13	D/Pers				
14	D/S				
15	DTR				
16	Asst/DCI				
17	AO/DCI				
18	C/IPS				
19	DCI/SS				
20	D/EO				
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22					

SUSPENSE \_\_\_\_\_  
Date \_\_\_\_\_

Remarks:

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